



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Peter Martyn and Karen Peterson Art Unit : 3628  
Serial No. : 10/001,240 Examiner : Ojo O. Oyebisi  
Filed : November 14, 2001 Conf. No. : 9278  
Title : ODD LOT PROCESSING IN CENTRALIZED AUTOMATED MARKET  
SYSTEM

**MAIL STOP AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being filed after a first Office action on the merits, but before receipt of a final Office action or a Notice of Allowance. A check for \$180 in payment of the late submission fee of §1.17(p) is enclosed. Please apply any other charges or credits to Deposit Account No. 06-1050.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

December 28, 2006  
Date of Deposit

Maie Collins  
Signature

Maie Collins  
Typed or Printed Name of Person Signing Certificate  
01/05/2007 NR001 00000001 10001240

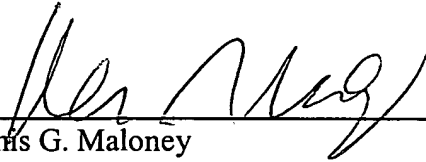
Applicant : Peter Martyn and Karen Peterson  
Serial No. : 10/001,240  
Filed : November 14, 2001  
Page : 2 of 2

Attorney's Docket No.: 09857-072001

Respectfully submitted,

Date: \_\_\_\_\_

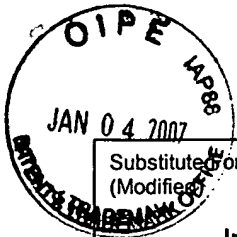
12/28/06



\_\_\_\_\_  
Dennis G. Maloney  
Reg. No. 29,670

Fish & Richardson P.C.  
225 Franklin Street  
Boston, MA 02110  
Telephone: (617) 542-5070  
Facsimile: (617) 542-8906

21521742.doc

Substituted from PTO-1449  
(Modified)U.S. Department of Commerce  
Patent and Trademark OfficeAttorney's Docket No.  
09857-072001Application No.  
10/001,240**Information Disclosure Statement  
by Applicant**

(Use several sheets if necessary)

(37 CFR §1.98(b))

Applicant  
Peter Martyn and Karen PetersonFiling Date  
November 14, 2001Group Art Unit  
3628**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	2002/0133454		Malitzis et al.			
	AB	2002/0161687		Serkin et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
	AQ	Tewels et al., The Stock Market, 1998, John Wiley & Sons, pps. 168-169.
	AR	
	AS	
	AT	

Examiner Signature

Date Considered

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.